
COMMONWEALTH OF VIRGINIA

Virginia Dam Safety, Flood Prevention & Protection Assistance Fund

2012 Grant Funding

Applications due: 5 pm, June 1, 2012

Developed by the Department of Conservation and Recreation
in cooperation with the Virginia Resources Authority



March 29, 2012

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A. Checklist

1. Submit three completed copies of the Grant Application in Section H of the Grant Manual to be received no later than 5 pm, June 1, 2012 to:
Virginia Department of Conservation and Recreation
Attention: Dam Safety, Flood Prevention & Protection Assistance Fund
Division of Dam Safety and Floodplain Management
203 Governor Street, Suite 206
Richmond, Virginia 23219
Phone: (804) 371-6095; Fax: (804) 371-2630
E-mail: Jacqueline.Hall@dcr.virginia.gov
2. After approval by the Virginia Soil and Water Conservation Board at the meeting scheduled for June 28, 2012, notice of awards will be posted online on the DCR website at www.dcr.virginia.gov under Dam Safety and Floodplain Management.
3. Virginia Resources Authority (VRA) will mail Grant Agreements to recipients. Return signed Grant Agreement within 90 days of receipt to:
Bradley L. Jones
Virginia Resources Authority
1111 E. Main Street, Suite 1920
Richmond, VA 23219
4. Submit quarterly reports as specified in Section I of the Grants Manual to:
Virginia Department of Conservation and Recreation
Attention: Dam Safety, Flood Prevention & Protection Assistance Fund
Division of Dam Safety and Floodplain Management
203 Governor Street, Suite 206
Richmond, Virginia 23219
5. After the dam safety project is completed, submit the engineering work to the Regional Dam Safety Engineer for approval or after the flood prevention project is completed submit the work to DCR Floodplain Management staff for approval. Name and address of your Regional Dam Safety Engineer and DCR Floodplain Management staff are available online at http://www.dcr.virginia.gov/dam_safety_and_floodplains/dsfpmcontx.shtml
6. For reimbursement, submit written project approval from the Regional Dam Safety Engineer or DCR Floodplain Management staff, paid receipts, signed Form of Requisition in Grant Agreement, and signed Certificate of the Consulting Engineer Form to:
Virginia Department of Conservation and Recreation
Attention: Dam Safety, Flood Prevention & Protection Assistance Fund
Division of Dam Safety and Floodplain Management
203 Governor Street, Suite 206
Richmond, Virginia 23219

B. Background and Introduction

Introduction

The purpose of this manual is to provide guidance regarding the policies, criteria, conditions, and procedures for determining project eligibility and awarding grants from the Virginia Dam Safety, Flood Prevention and Protection Assistance Fund to local governments and private entities for specified dam safety and floodplain management issues pursuant to §10.1-603.16 et seq. of the Code of Virginia. For the purposes of this manual and the fund, “local government” means any county, city, town, municipal corporation, authority, district, commission, or political subdivision created by the General Assembly or pursuant to the Constitution or laws of the Commonwealth, or any combination of two or more of these entities. “Private entities” means dam owners, whether individuals, partnerships, corporations, or other nongovernmental entities.

Virginia Dam Safety, Flood Prevention and Protection Assistance Fund

The Virginia Dam Safety, Flood Prevention and Protection Assistance Fund was established to:

1. Make matching 50% matching grants to local governments and to private entities owning existing dams to improve dam safety. State-owned and federally-owned dams, or dams not regulated pursuant to the Dam Safety Act (§10.1-604 et seq. of the Code of Virginia) are ineligible.
2. Make 50 % matching grants to any local government for the purpose of assisting the local government with improvements to flood prevention and protection.

The fund consists of moneys appropriated by the General Assembly, assessments made on flood insurance premium income pursuant to §38.2-401.1 of the Code of Virginia, funds returned in the form of interest and loan principal by recipients of funding, income from the investment of monies contained in the fund, and other public and private funds eligible for deposit.

The fund is permanent and non-reverting and is administered and managed by the Virginia Resources Authority (VRA) in cooperation with the Virginia Department of Conservation and Recreation (DCR). The DCR Director will determine the type and amounts of funding available prior to each funding period, and will specify the categories that will be considered for loan and/or grant assistance. The director is authorized to make expenditures in accordance with § 10.1-603.16 et seq. and the terms of this guidance document following approval of applications from the Virginia Soil and Water Conservation Board (Board).

Virginia's Dam Safety Program

Provisions of the Virginia Dam Safety Act, (§ 10.1-604 et seq.) and its attendant regulations (4 VAC 50-20-10 et seq.) promulgated by the Virginia Soil and Water Conservation Board promote the proper and safe design, construction, operation and maintenance of dams in the Commonwealth. The act applies to dams that are twenty-five feet or higher and that create a maximum impoundment capacity of fifteen acre-feet or greater, and dams that are six feet or higher and create a maximum impoundment capacity of fifty acre-feet or greater. Exceptions are dams operated primarily for agricultural purposes which are less than 25 feet in height or which create a maximum impoundment capacity smaller than 100 acre feet, dams owned or licensed by the United States government, dams licensed by the State Corporation Commission that are subject to a safety inspection program, water or silt retaining dams approved pursuant to Code of Virginia § 45.1-222 or 225.1 (mining or quarry dams permitted by the Virginia Department of Mines, Minerals, and Energy), and obstructions in a canal used to raise or lower water. The Dam Safety Program's goal is to enhance public safety by administering an effective program that assists dam owners in protecting their dams.

Virginia's Floodplain Management Program

The Virginia Flood Damage Reduction Act of 1989 is administered by DCR through the Floodplain Management Program in DCR's Division of Dam Safety and Floodplain Management. The program's objectives are to prevent loss of life, reduce property damage caused by flooding, and conserve the natural and beneficial riverine and coastal floodplains of the Commonwealth. The program pursues these objectives by assisting localities in identifying flood risks, in communicating those risks to residents, and in managing development in identified flood hazard areas.

C. DCR Grant Eligibility Criteria and Application Procedures

Eligible Project Types

Dam Safety (for government and private entities)

- Dam Break Inundation Zone Analysis, Mapping and Digitization
- Emergency Action Plan Development
- Incremental Damage Analysis
- Engineering for Dam Repairs

Flood Prevention and Protection (for government entities):

- Locality Flood Warning and Response Systems such as Reverse 911 and IFLOWS
- Improvements to Locality Floodplain Program and Acceptance in Community Rating System
- Locality Floodplain Information and Educational Programs

DCR Conditions and Limitations for Making Grants

- Grant assistance will be awarded by category on a competitive scoring basis for eligible projects that meet the general conditions of this section.
- Grants from the fund require a minimum 50 percent match by the recipient and is a reimbursement grant meaning the project shall be paid for prior to grant fund disbursement.
- Total available grant funds for 2012.
The total amount of expenditures for grants in any fiscal year shall not exceed 50 percent of the total noninterest or income deposits made to the Fund during the previous fiscal year, together with the total amount collected in interest or income from the investment of moneys in the Fund from the previous fiscal year as determined at the beginning of the fiscal year. **Based on this limitation, a total of \$765,000 is available for 2012 grants. Maximum grant amount per project will be determined based on scoring, amounts requested from eligible projects, and available funds.**
- DCR, VRA, and the Board, in their discretion, reserve the right to provide funding at a level lesser than requested by the applicant, or to refuse to fund an applicant's request. Reasons for such determinations include, but are not limited to, attainability of the proposal, credit worthiness of the applicant, total funding determined to be necessary to complete the project, and total available funding.
- **Applications for 2012 Grant Funding must be received by 5 pm June 1, 2012.**
- In order for a grant to be authorized, an eligible project shall satisfy the following general conditions:
 - An application meeting the requirements set forth in this manual has been submitted to DCR within the specified application period.

- The applicant has provided satisfactory assurances of match funding, property ownership, and adequate project maintenance and management (where applicable).
- Where applicable, the applicant (if a locality or entity (for example, a corporation or homeowner's association)) has formally adopted a resolution requesting assistance from the fund or a statement indicating that a resolution will be proposed and once approved, forwarded to and acceptable to DCR prior to dispersal of funds.
- If a grant is sought for a study, project or activity that will be carried out in concert with a federal agency, the applicant must have entered into, or have adopted a resolution to enter into, any necessary written agreement with the federal agency endorsing the study, project or activity, including any provisions for cost sharing.
- In order for a grant to be authorized for a flood prevention or protection project or study, the following additional conditions must be satisfied:
 - A local government that applies for funding for flood prevention or protection projects or studies must be participating in the National Flood Insurance Program (NFIP), and must not have probationary status or be under suspension.

D. Application Review and Approval

- Qualifying projects in each category are selected for funding on a competitive scoring basis. DCR will use the following procedure in determining the qualification of an application.

Virginia Department of Conservation and Recreation (DCR) Review

- Applications will be received and reviewed by the DCR's Division of Dam Safety and Floodplain Management for completeness in accordance with the eligible grant categories. Division staff will additionally review each complete application to determine its merits.
- The Division of Dam Safety and Floodplain Management staff will forward complete applications and recommendations to the DCR Director and will meet with the director as needed to discuss and prioritize each application in accordance with the criteria set out in this manual.

Virginia Soil and Water Conservation Board Review

- The DCR Director will recommend qualified projects for funding to the board. The Board will consider the director's recommendations and approve projects for funding in accordance with the criteria set out in this manual.

Virginia Resources Authority (VRA) Review

- Following the Board's approval and pending further necessary submittals, the application will be forwarded to VRA for development and execution of a

grant agreement. **All applications must qualify pursuant to VRA's criteria in order to be eligible for funding.**

E. Project Commencement and Schedule for Completion

Since the readiness of projects to proceed is a critical factor in maintaining the integrity of the program, projects will be required to commence and to be carried out within 12 months of the signing of the Grant Agreement. If a project does not commence in a timely fashion, or fails to proceed in accordance with schedule, funding may be withdrawn from the project and the applicant may be required to reapply during the next funding round. Such funds may be redistributed to other qualifying projects at the discretion of the board

F. Reporting and Close-Out Guidelines for Grant Recipients

Following execution of a grant agreement, successful applicants must submit quarterly reports to DCR by January 15, April 15, July 15, and October 15 for the previous quarter. Section I contains the quarterly reporting form that is required to be submitted.

Where applicable, DCR will conduct project inspections as necessary to ensure conformance to grant terms. Final project deliverables defined in the approved Scope of Work are due to DCR within 30 days following the project end date, unless another date is agreed upon.

All materials shall be provided digitally (if not also in print) to DCR as a requirement for receipt of this grant. Reports must be provided in either PDF and/or a Microsoft Word compatible format, including any embedded maps or other figures/illustrations. Any engineering files and assumptions necessary to replicate various analyses or other calculations need to be provided in a format compatible with the software used to perform those calculations; likewise all output files are also required. All tabular information not included in the engineering files above, whether or not contained within any report or appendix, which was used as the basis for any calculation, shall be provided in a Microsoft Excel compatible format or Microsoft Access compatible format. Dam break inundation maps, i.e. the cartographic product, should be provided via PDF format if not already embedded within the report(s). Though, these inundation PDF map deliverables shall not substitute for the underlying data in a well formed, georeferenced, and properly projected GIS format; if derived from CAD or another non-GIS workflow, at minimum the inundation areas, building footprints and elevation data will need to be converted into a GIS compatible format. The coordinates of flood warning and response systems shall also be provided. See the Division of Dam Safety and Floodplain Management Digital Deliverables Specifications document for specific requirements and direction.

Close out of the project will require confirmation of the Grant Agreement project by the respective Dam Safety Regional Engineer or DCR Floodplain Management staff. The Certificate of the Consulting Engineer Form must be completed by the dam owner and

the owner's consulting engineer with contact information and the description of project. The Regional Engineer or DCR Floodplain Management staff will confirm the project has been completed, sign the form and return it to owner. The owner should then submit this signed form with paid receipts, signed Form of Requisition in Grant Agreement, and signed Certificate of the Consulting Engineer Form to the DCR Dam Safety & Floodplain Management Office in Richmond (see address on page 3.)

G. Virginia Resources Authority (VRA) Specific Conditions and Limitations for Grants

Grant funds will be disbursed to the recipient by VRA after approval and request by DCR. Any grants shall be disbursed on a reimbursement basis only. All requests for disbursement shall be delivered to DCR for approval. DCR shall forward the approved request to VRA for payment.

H. 2012 Simplified Grant Application Form

- **Applications are due by 5 pm, June 1, 2012.**
- **Please limit each application to one project.**
- **Submit three (3) copies of each completed application to:**

Virginia Department of Conservation and Recreation
Attention: Dam Safety, Flood Prevention & Protection Assistance Fund
Division of Dam Safety and Floodplain Management
203 Governor Street, Suite 206, Richmond, Virginia 23219
Phone: (804) 371-6095; Fax: (804) 371-2630
Email: jacqueline.hall@dcr.virginia.gov

Name of Applicant:

Organization:

Address:

Telephone Number:

E-mail:

Contact Person (if different):

Address:

Telephone Number:

E-mail:

Project Category (check one): ☐ Dam Safety ☐ Flood Prevention & Protection

Type of Applicant (check one): ☐ Public Government Entity ☐ Private Entity

Project Type (check one):

Dam Safety (for government and private entities)

- Dam Break Inundation Zone Analysis, Mapping and Digitization
- Emergency Action Plan Development
- Incremental Damage Analysis
- Engineering for Dam Repairs

Flood Prevention and Protection (for government entities):

- Locality Flood Warning and Response Systems such as Reverse 911 and IFLOWS
- Improvements to Locality Floodplain Program and Acceptance in Community Rating System
- Locality Floodplain Information and Educational Programs

Title of Project:

Description of Project:

Location of Project (list address, nearby roads, town, city, county as applicable):

General Questions:

Has this project already been completed?

Can this project be completed in 12 months?

Has the applicant previously received a grant from this Fund?

If yes, was the grant for the same project?

For Dam Safety projects, please answer the following:

Name and ID Number of Dam?

Hazard Classification (High, Significant, Low)?

How many lives are at risk if this dam fails?

How many residential units are in the dam break inundation zone?

Are any of the following located in the dam break inundation zone (public roads, public utilities, schools, hospitals, commercial structures)?

What is the use of the impoundment structure (public water supply, public recreational access, no public access, flood control)?

Has the dam owner complied with all annual inspection and reporting requirements during the last 5 years?

For Flood Prevention & Protection projects (government only), please answer the following:

Is the applicant a participant in the National Flood Insurance Program (NFIP) and not currently under suspension or probation?

Does the local jurisdiction in which the project is located have a local floodplain ordinance and history of enforcement?

Does the applicant have a hazard mitigation plan?

Does the proposed project conform to the state and local hazard mitigation plans?

How many residential units are subject to flooding in the project area?

Grants from the fund require a minimum 50 percent match by the recipient and are reimbursed after payment by recipient. Please provide the following:

Amount to be Paid by Applicant:

Amount of Grant Funds Requested:

Total Cost of Project:

Signature	Printed Name	Position	Date
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I. Quarterly Reporting Form

Instructions

- The information presented on this quarterly report, when combined, should be sufficient to indicate the status of the complete project for which funding is being received.
- Following execution of a grant agreement, successful applicants must submit quarterly reports to DCR by January 15, April 15, July 15, and October 15 for the previous quarter.

- For each category/column, provide a brief description.
 - For the “Brief Description of Activity” describe the portion of the project that will be discussed in the entries that follow. The portion of an overall project that is sufficient to constitute a separate activity will vary for each project; it is suggested that the funding recipient separate activities into categories that may be easily discussed within the context of the larger project.
 - For the “Progress Achieved During this Quarter” summarize any actions taken during the quarter toward completing the activity, and the results of those actions.
 - For the “Anticipated Completion Date for this Activity and Remaining Steps” note the approximate date by which the activity is expected to be complete, as well as a summary of what actions remain to be completed to bring this activity to completion.
- Attach additional sheets as necessary to complete any discussion. Additional copies of the reporting form may be attached if necessary due to number of activities undertaken.
- Submit the completed quarterly reporting form to:

Virginia Department of Conservation and Recreation
 Division of Dam Safety and Floodplain Management
 203 Governor Street, Suite 206
 Richmond, Virginia 23219
 Fax: (804) 371-2630
 E-mail: Jacqueline.hall@dcr.virginia.gov

Quarterly Reporting Form **Dam Safety, Flood Prevention and Protection Assistance Fund**

Date

Project Title

Dam Name & ID (if applicable)

Brief Description of Activity

Progress Achieved During this Quarter

Anticipated Completion Date for this Activity and Remaining Steps

Submitted by
Address

Telephone Number

J. Certificate of the Consulting Engineer Form to Accompany Request for Disbursement

Description of Project:

Dam Name:

Inventory No.

This Certificate is being executed and delivered in connection with Requisition dated _____, submitted by _____ (the "Grantee"), pursuant to the Grant Agreement dated _____, between the Virginia Resources Authority, as Administrator of the Dam Safety, Flood Prevention and Protection Assistance Fund, and

the Grantee. Capitalized terms used herein shall have the same meanings set forth in Article I of the Grant Agreement referred to in the Requisition.

The undersigned Consulting Engineer for the Grantee hereby certifies to the Virginia Resources Authority, as Administrator of the Dam Safety, Flood Prevention and Protection Assistance Fund, that insofar as the amounts covered by this Requisition include payments for labor, such work was actually performed and payment for such work has been received in full.

Signature of Grantee:

Date:

Printed Name of Owner:

Address:

Telephone:

Signature of Consulting Engineer:

Date:

Printed Name of Consulting Engineer:

Address:

Telephone:

Signature of DCR Regional Dam Safety Engineer:

Or DCR Floodplain Management staff:

Date:

Printed Name:

Address:

Telephone: